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HISTORY & HERITAGE
For All Generations

South Carolina Department of Archives & History Annual Accountability Report Fiscal Year 1998-1999

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Budget & Control Board
OFFICE OF STATE BUDGET

S. C. STATE LIBRARY

OCT 22 1999

STATE DOCUMENTS

October 7, 1999

Office of State Budget
Attention Karen Amos
1122 Lady Street, 12th Floor
Columbia, SC 29201

Dear Ms. Amos:

Enclosed you will find three printed copies and a 3.5" diskette containing the FY 1998-1999 Agency Accountability Report for the SC Department of Archives & History.

Archives and History has three core program areas with a wide range of customers and stakeholders. We have continued to manage to the needs of these groups by following the goals and strategies outlined in our agency strategic plan. By cascading this plan throughout the agency, we are able to measure key objectives in a customer focused, and efficient manner.

We have attempted to provide the requested information on the mission of our agency, key results of program areas, our leadership focus and progress and measures of customer satisfaction.

If you have any questions regarding this report, please contact Leah Cherney, Agency Quality Coordinator at 896-6188.

Sincerely,

Rodger E. Stroup
Director

Enclosure

Executive Summary

Mission Statement:

“To preserve and promote the documentary and cultural heritage of the state through professional records management, historic preservation, and education.”

Major Program Goals:

Archives and Records Management is our number one ranked program due to state mandates and other requirements for the management and collection of records and documents. Of primary importance to this program is identifying and preserving archivally valuable documents. A major issue for this program is efficiency with respect to retention of government records. The staff and leadership take pride in their efforts at improving efficiency through a professional records management program. Our collection reflects this effort in its size (over 22,000 cubic feet) and historical significance (earliest document dates to 1673).

Efficiency is our major objective as reflected in the report:

- ◆ Dramatic cost savings are realized by our records management program. Our record retention schedules allow agencies and local governments to dispose of unneeded records saving nearly \$1 million per year in storage and maintenance costs.
- ◆ 72% lower cost for Records Center storage of paper records and microfilm than is charged by local commercial storage facilities.
- ◆ \$109,288 in local cost sharing generated by SHRAB (State Historical Records Advisory Board) grants program.

Along with the Budget & Control Board's Office of Information Resources, and SC State Library, the Archives and Records Management program has been an integral partner in the creation of the South Carolina Information Locator Service (SCILS). This system will assist agencies in tracking information resources recorded on all mediums—a system that can quickly pinpoint a paper document, a Uniform Resource Locator (URL), videotape, or even a photograph. The SCILS will function as a virtual card catalog, improving public access to information created by State government, identifying public information resources throughout State government, describing the information in those resources, and helping citizens obtain access to these resources.

Our wide-ranging collaborative efforts with state agencies and local governments in the proper management of records and information ensures our success with regard to the outcomes and efficiency of this program. Archives invites and incorporates customer input into our policies, guidelines and technical leaflets. We have had an outstanding year of input, utilizing grant funds to hire three independent and objective consultants to conduct three independent surveys to assess archival programs and services. From these surveys, 864 state and local government customer survey forms were prepared and mailed out, and 2 focus groups conducted. This assessment process provided the data and input needed for meeting future needs of our customers and demands on our collection and facility. Of mention is a comment in the evaluative report from Mr. Timothy Slavin from Delaware's Office of Information Services pertaining to Archives Electronic Records Management program. Mr.

Slavin notes that the Archives Electronic Records Management program is a mature one, with accomplishments in the electronic records area representing "some of the most substantive policy-level work of any state government archival program in the country."

Dr. Bruce Dearstyne of the University of Maryland after conducting his evaluation of the State and Local Government Records program stated, "The Archives has developed and cultivated a positive working relationship with the local government community. It was apparent that local officials trust and welcome working with Archives staff. They also see the Archives in a positive way in the sense that they regard the agency as helpful and providing guidance rather than setting rigid requirements and stressing strict enforcement."

Knowing that we have a number of strengths, we also realize that there are major challenges needing our attention. The greatest opportunity for us in this program area is the need to strike a balance between the conservation and preservation of vast amounts of records in our collection, state, county and local records as identified in the survey completed by our record's analyst, while continuing external services to constituents with regards to conservation and microfilming.

The **Historic Services program** is considered the second ranked program because of its mission of preserving the state's historic properties and mandates under the NHPA (National Historic Preservation Act). This area provides technical information, financial assistance, and encouragement to empower local governments, state and federal agencies, private organizations, and the citizens of the state to preserve South Carolina's historic buildings, structures, and sites. The program also coordinates activities to encourage awareness and appreciation of South Carolina's rich history. These include a speaker's bureau, support of local historical societies, South Carolina Highway Historical Markers, exhibits, and conferences and workshops on South Carolina history. This service area encompasses the National Register for Historic Places in South Carolina.

Our Historical Services program counts on many partnering relationships. New efforts undertaken in FY 98-99 include: collaborating with DHEC's Bureau of Ocean and Coastal Resource Management and the Division of Mining to develop a consistent, predictable process for determining what projects are likely to affect important archaeological sites. Our staff also participated in four workshops to explain the Department of Transportation's, Transportation Enhancement grants and served on grants advisory panels for the Department of Parks, Recreation and Tourism.

As with all of our programs we keep a pulse of the requirements and expectations of stakeholders to help drive the direction of service delivery. With a number of new staff in Historical Services bringing new ideas and energy to the table, this area developed a statewide historic preservation plan. Major efforts were made to solicit feedback on identified goals and the strategies to achieve those goals, which in turn will enhance our services and respond to the needs of our customers. Three methods utilized were:

- ◆ Key stakeholder meetings with the Council of SC Professional Archaeologists, the Executive Council of the Confederation of South Carolina Local Historical Societies, the African American Heritage Council, and local government staff working with

boards of architectural review. Archives staff presented goals from their plan and received feedback.

- ◆ Staff developed a mailing on the goals in the plan and a request for comment, with a list of questions. Selected individuals and organizations that were not represented in the meetings were targeted, including local preservation organizations, preservation architects, and regional planning councils, the Municipal association, the Association of counties, and the Catawba Nation.
- ◆ Lastly, goals and a request for comment with a list of questions were posted on the Archives and History web site .

The invaluable information gained from these sources of feedback have guided the development of the statewide preservation plan as well as annual action plans for our historic preservation programs.

It is a routine part of our operations to stay in contact with our constituents and gain their feedback so the Historic Preservation office understands their customer's requirements. Some examples of this are

- ◆ An external forum held with our local historic preservation commission to discuss challenges they face, and training that would be valuable to them and their commissions. From this feedback we are currently developing a training session to fulfil requested needs.
- ◆ Promoting and educating the public on available grant programs through a grant writing workshop. 74% of attendees ranked the program as "very useful", while 26% found it "useful". No one rated the program as "not very useful".
- ◆ Inviting a nationally recognized expert to study South Carolina's special tax assessment laws around rehabilitation of historic buildings and recommend changes. The consultant interviewed stakeholders, and Archives sponsored a forum with representatives of developers, local governments, preservation organizations and state agencies to get feedback on the consultant's report. As an outcome from this process we have set up a steering committee to develop a proposed outline for legislation.

In the future our challenge is to encourage less wealthy communities in our state to sponsor surveys for identifying, recording and photographing and mapping historic properties. To help with this we are developing a more cost-effective survey methodology and plan for promoting surveys.

Public Program Services is considered the third ranked program at Archives & History. Although not a mandate, this educational outreach and advocacy function is essential to Archives serving the public, and building the public's awareness of the state's rich and colorful history to all of South Carolina's 3.4 million citizens. Through our 300 year old collection of records, major publications, brochures, classes and seminars our staff assists primary, secondary and adult educational institutions in teaching subjects concerned with the history of the state and region.

One of the newest functions of this area and the agency is National History Day in South Carolina. National History Day is a nation-wide history education program for students in grades 6-12. The focus is to promote effective research, document analysis, organization and

presentation skills. As a result of having the state's National History Day Coordinator at the Archives, teachers are given guidance on how to take children out of traditional fact memorization and into the world of research, analysis and interpretation of historical events and documents. These abilities not only develop better classroom skills and enhance abilities necessary for success with the format of the new PACT testing program in South Carolina, but also make the students much more effective life-long learners. Final student presentations may be in the form of historical papers, tabletop exhibits, media documentaries, or live performances. Student participation in this program has led to outcomes of increased effectiveness of presentation skills and research abilities useful in other academic areas.

Facility rental is another component that has gotten underway since moving to the new building. The agency has benefited by having the space to house our own workshops, seminars, and conferences, as well as hosting of external events for our public and private partners.

Our publications unit edits, designs, and produces electronic copy for departmental publications, contracts for printing, and produces other materials to support departmental outreach. Publications coordinates its' activities with all service areas to meet the goals of the department's long-range plan and annual work plans. This year, along with the regular newsletters, pamphlets, posters, forms, charts, maps, graphs, invitations and awards, the unit produced curriculum resource materials for SC History Day, and catalogs and panels for the History Center's public exhibit area. Editing work for the Journal of the House of Representatives 1794-1795 began this fiscal year as well. Publications has taken an active role in furthering the Department's emphasis on outreach by generating two issues of the National Association for Government Archivists and Records Administrators' newsletter, Clearinghouse. This work unit received the South Carolina State Library's Notable State Document Award for two 1998 publications; Robert Seigler's A Guide to Confederate Monuments, and Alexia J Helsley's South Carolina's African American Pensioners, 1923-1925. The Publications unit truly lends itself to one of our key business drivers, that is, cost-effective service delivery.

Once again this fiscal year we provided more services at lower costs. We accomplished this through:

- ♦ Continuing to provide full-time staff dedicated to the advancement of educational activities for the department; reaching a larger audience at a reduced cost.
- ♦ Continuing to realize significant cost savings in our publications program, FY 98-99 savings \$46,631.
- ♦ Working cross-functionally to plan and produce exhibits and more effective public programming to satisfy a variety of customer requests.

Future opportunities for Public Programs include educating more teachers about the National History Day program, thereby involving additional students. Other challenges include: seeking input from teachers earlier in the process to ensure that any publications or programs directed to teachers is useful; and continuing to improve internal collaborative efforts to more effectively plan all events and programs cross-functionally. Recent changes involving the educational staff's responsibilities and the formation of an agency wide Programs Committee will move us toward meeting these challenges.

Description of Programs

Program Name: Archives and Records Management

Program Cost : \$1,453,721 (\$6,378 Federal and other funds, \$1,389,940 General Funds)

Program Goal: To assist state agencies and local governments in the efficient management of public records and to preserve and provide effective access to South Carolina's documentary heritage.

Program Objectives:

- 1) To provide technical assistance and services to state and local officials in the management, preservation, and disposal of public records, encouraging good records management practices.
- 2) To identify historically valuable state and local government records and ensures their transfer to the Archives for preservation and/or proper maintenance in state and local government agencies.
- 3) To exercise review and approval authority, per statute, for the destruction of state and local government records.
- 4) To provide for public access to the State's Archives.
- 5) To microfilm state and local government records and provide secure climate-controlled storage for original microfilms of historically valuable records produced by public and commercial microfilm service bureaus.
- 6) To provide conservation advice and services to the general public for the proper preservation of historical records.
- 7) To collaborate with other state agencies, local governments, and other organizations, in activities and projects supporting the improved management and preservation of SC public records.
- 8) To assist the State Historical Records Advisory Board (SHRAB) in statewide historical records planning, grant, and other activities.
- 9) To increase the public's awareness of the importance of SC's historical records and the services of the Archives and the SHRAB.

Performance Measures

Output:

13,516 state and local officials and the general public reached through technical assistance responses, conferences, workshops, tours, newsletters, and other publications.

462 retention/disposition schedules representing 17.1 million pages of state and local records approved.

12,929 individual visits made to the Archives' Research Room to consult state agency and local government records.

8,944 responses made to mail and telephone queries about Archives' state and local government records holdings.

38.7 million pages of records in paper and microfilm transferred by state agencies and local governments for security Records Center storage.

951,287 historical documents microfilmed and conserved.

17 grants totaling \$68,093 to SC organizations and institutions administered for the SHRAB.

46 counties visited and historical records requiring microfilming identified.

64 state agencies visited and their paper records retention scheduling, storage, and eligibility for future transfer to the Archives assessed and recorded.

27,000 cubic feet of Archives historical records holdings (representing over 65 million pages) assessed for priority setting in preservation treatment and public access.

864 state and local government customer survey forms prepared and mailed out, 3 consultants hired to assess archival programs and services, and 2 focus groups conducted, as part of an 18 month strategic planning process.

Through SHRAB, organized the state's first archival association.

Efficiency:

83% of records retention schedules approved within two weeks of submission.

\$816,600 in cost-avoidance by state and local government through the Archives' records management program; \$430,937 of which represents state agency cost avoidance in records storage through use of the State Records Center rather than a commercial facility.

9.8 day average response time for Research Room mail queries.

72% lower cost for Records Center storage of paper records and microfilm than is charged by local commercial storage facilities.

\$109,288 in local cost sharing generated by SHRAB grants program.

62% lower cost for conservation and microfilming services for historical records than is charged by other service bureau operations.

46% response rate on customer survey responses.

Outcomes:

72% of state agencies and 14% local governments implemented records retention schedules.

13.8 million pages of historically valuable state and local government records (in paper and microfilm) transferred to the Archives for permanent retention.

75.4 million pages of state and local government records of no further value destroyed in conformance with Archives' authorized records retention/disposition schedules, thereby freeing up government office and storage space.

24 private sector historical records programs established/strengthened through the SHRAB regant project.

Data gathering completed for FY 2000 long-range planning for state agency records storage (at both the Archives and at the State Records Center) and microfilming of historically valuable county records.

First historically valuable electronic database from a state agency accessioned and made available to the public in the Archives Reference Room.

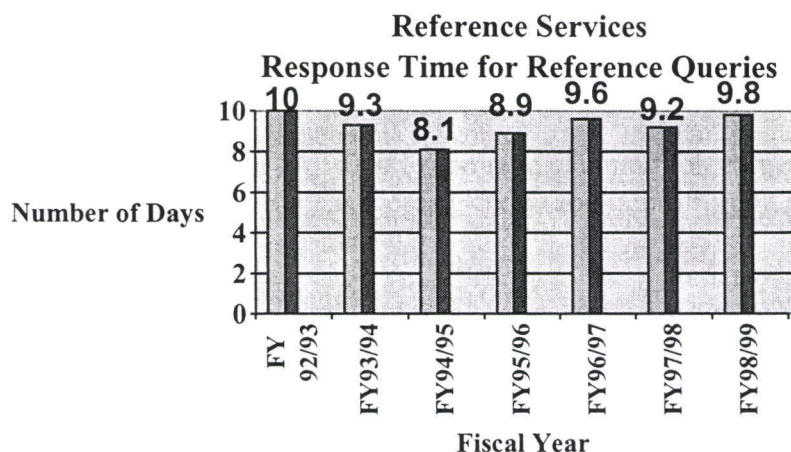
Input from survey responses and consultant studies completed for FY 2000 long-range planning and changes in services.

Archives and Records Management Trend Data:

Key Business Driver: Efficient Service Delivery

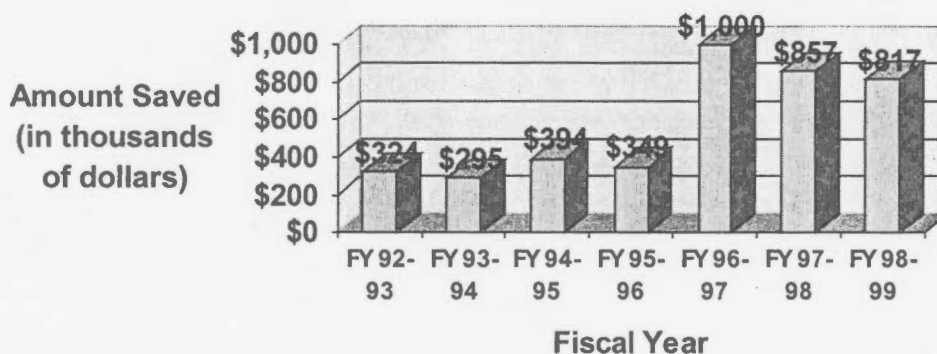
Measure Type: Efficiency

Measure Definition: Average response time for research room reference queries, from the time the request is received to the time the information is sent back to the customer.

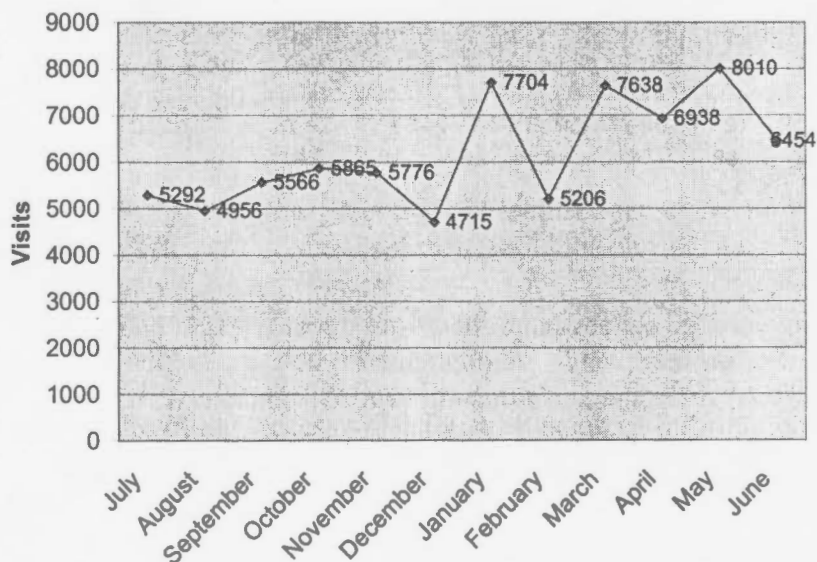


Key Business Driver: Cost Effective Service Delivery**Measure:** Outcome

Measure Definition: The cost avoidance for state agencies by utilizing the Archives' Records Management Program and storage. Regarding authorized destructions reported by state agencies to our staff and from cost avoidance of storing inactive state agency records in the State Records Center versus storing on site in agencies.

Cost Avoidance: What Archives Saves Other S.C. Agencies**Key Business Driver:** Providing Access to Historical Resources/Information**Measure:** Customer Service

Measure Definition: The availability of information electronically has become essential for our customers within S.C., and across the nation. We measure the number of total visits to our sight as well as sub measures of hits to sights within our web page to see if customers are utilizing this medium for accessing information.

South Carolina Archives Web Visits - FY 1998-1999

Key Business Driver: Providing Access to Historical Resources/Information

Measure: Output

Measure Definition: This outreach measure depicts a trend that we are likely to continue to see from our constituents. As the number of letters drop, the number of telephone calls increase. As the number of letters and telephone calls drop, e-mail requests increase. These numbers are a direct measure of the use of technology.

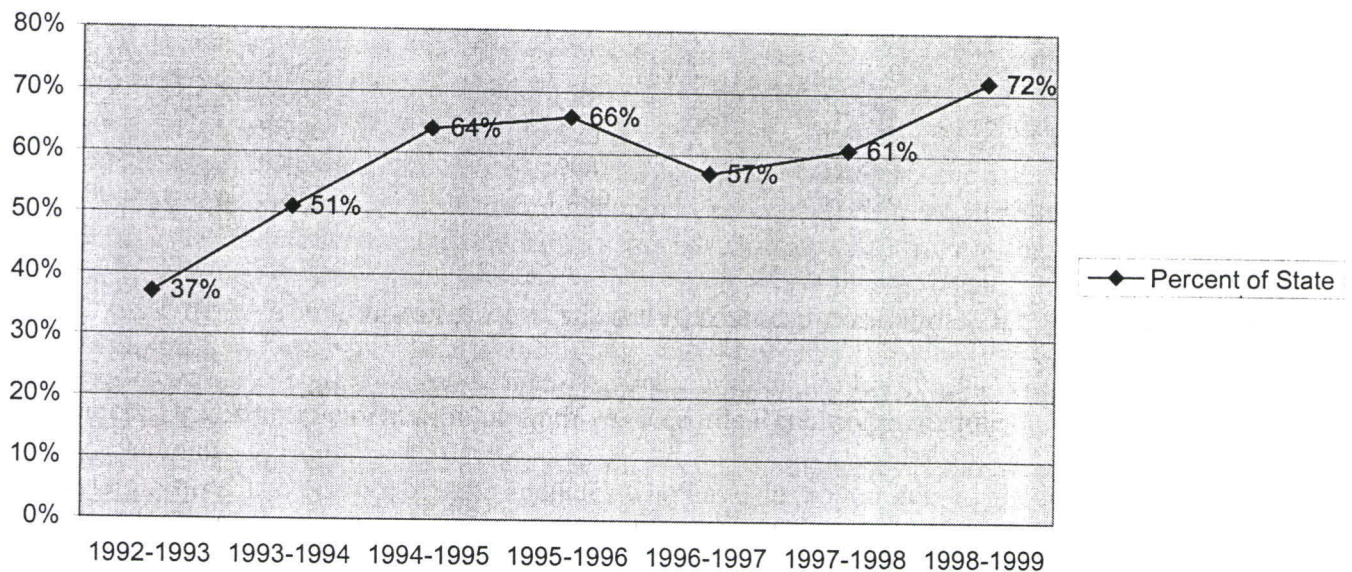
FY	Letters	Telephone Calls	E-mail Requests	Research Visits	Ind. Researchers
90-91	4,194	4,328	N/A	11,203	4,785
91-92	5,598	4,924	N/A	12,420	5,202
92-93	4,074	5,040	N/A	12,375	5,194
93-94	3,843	5,353	N/A	12,482	5,553
94-95	4,096	5,881	N/A	13,739	6,099
95-96	3,522	5,984	338	12,861	5,616
96-97	3,317	5,996	829	12,952	5,587
97-98	2,654	5,467	964	12,464	5,989
98-99	2,080	5,374	1,490	12,929	6,346

Key Business Driver: Implementation of Archives Records Retention Schedules

Measure: Outcome

Measure Definition: The percent of state agencies who have destroyed records in compliance with the Public Records Act.

Percent of State Agencies Implementing Record Retention Schedules



Key Business Driver: Efficient Service Delivery

Measure: Efficiency

Measure Definition: The number of weeks it takes to approve records retention schedules has remained constant since FY 95/96. Since 1996, we have tracked the percent completed within two weeks.

1993-1994 6 weeks

1994-1995 3 weeks

1995-1996 2 weeks

Fiscal Year Percent Approved

1996-1997 75%

1997-1998 77%

1998-1999 83%

Key Business Driver: Cost Effective Service Delivery

Measure: Southeast Region Benchmark

Measure Definition: On Average SCDAH is 76% less expensive than in-state average, and 70% less expensive than the average of all individuals or groups surveyed.

Southeast Industry Conservation Price Comparison

Name of Individual or Group	Location	Price/Hour
Hilary Kaplan	Atlanta, GA	\$50.00
Marion Hunter	Charleston, SC	\$50.00
Larry Lafollette	Tallahassee, FL	\$50.00
Catherine Rogers	Charleston, SC	\$75.00
NC Archives	Raleigh, NC	\$10.00
Virginia Historical Society	Richmond, VA	\$42.00
Tom Albrow	Washington, DC	\$75.00
SC Archives	Columbia, SC	\$15.00

Program Name: Historic Services

Program Cost: \$937,798 (\$398,096 Federal and other funds, \$539,702 General Funds)

Program Goal: The Historical Services program provides technical information, financial assistance, and encouragement to empower local governments, state and federal agencies, private organizations, and the citizens of the state to preserve South Carolina's historic buildings, structures, and sites. The program also coordinates activities to encourage awareness and appreciation of South Carolina's rich history. These include a speaker's bureau, support of local historical societies, South Carolina Highway Historical Markers, exhibits, and conferences and workshops on South Carolina history.

Program Objectives:

1. Identify, record, and evaluate South Carolina's historic properties.
2. Nominate significant historic properties to the National Register of Historic Places.
3. Automate information about historic properties, making it accessible to local governments, state and federal agencies, citizens, and agency staff.
4. Provide financial assistance for the stabilization and weatherization of historic buildings.
5. Provide financial assistance for preservation planning and education projects.
6. Encourage the revitalization of South Carolina's downtown and neighborhood areas through historic preservation.
7. Encourage local governments to protect their historic properties by adopting historic preservation zoning ordinances and by attending rehabilitation training.
8. Encourage the preservation of historic properties through reviewing and commenting on federal and state construction projects.
9. Increase awareness of the state's historic properties and the historic preservation services of the Department.
10. Cooperate and collaborate with local historical societies, the Confederation of Local Historical Societies, the South Carolina African American Heritage Council, the Palmetto Trust, and other organizations to promote state and local history and historic preservation.
11. Sponsor conferences and workshops to promote state and local history and the programs and services of the agency.

Program Measures:**Outputs**

153 historic properties identified, recorded, photographed, and mapped. *This figure has declined for the past two years. For the most part, the county governments with more financial resources*

have already recorded their historic properties using our matching grants. Our challenge for the future is to encourage less wealthy counties to sponsor surveys. To help with this we are developing a more cost-effective survey methodology and plan for promoting surveys.

24 significant individual historic properties and **2** historic districts (containing 19 contributing properties) nominated to the National Register of Historic Places.

1,547 responses to requests for comments on state and federal projects.

6 "Building Doctor" workshops (**210** participants) held to provide hands-on advice for owners of historic buildings.

143 on-site architectural assistance visits made.

Plans reviewed for **14** rehabilitation projects seeking the federal historic preservation tax incentives. *These included endangered landmarks like the McAliley Building (Chester), the Rose Hotel (York), the Kress Building (Columbia), and the Wardlaw Junior High School (Columbia).*

29 new South Carolina Highway Historical Markers approved.

91 presentations made and **4,653** individuals reached through the agency's speaker's bureau

32 communities with historic preservation design review ordinances (110 individual participants) received technical training.

Efficiency

96% of state and federal construction projects reviewed within 30 days.

80% of nominations approved by the State Board of Review and the National Park Service without requiring significant revisions.

Outcomes

24% of the state's counties have identified, recorded, photographed, and mapped their historic properties.

Over **\$678,712** in local investment in historic preservation generated by grant programs.

6 historic buildings rehabilitated and **\$4,232,920** in private investment in historic preservation stimulated by federal preservation tax programs. *Comparing this number to data from states with similar populations and numbers of National Register properties, we believe there is potential for more projects in South Carolina. One of our goals is to more effectively promote the federal preservation tax incentives.*

86 historic properties identified and considered in the planning stages for state and federal construction projects.

95 attendees completed evaluation forms for South Carolina History Day: 58.5% rated the program "outstanding" and 40.4% rated it "good."

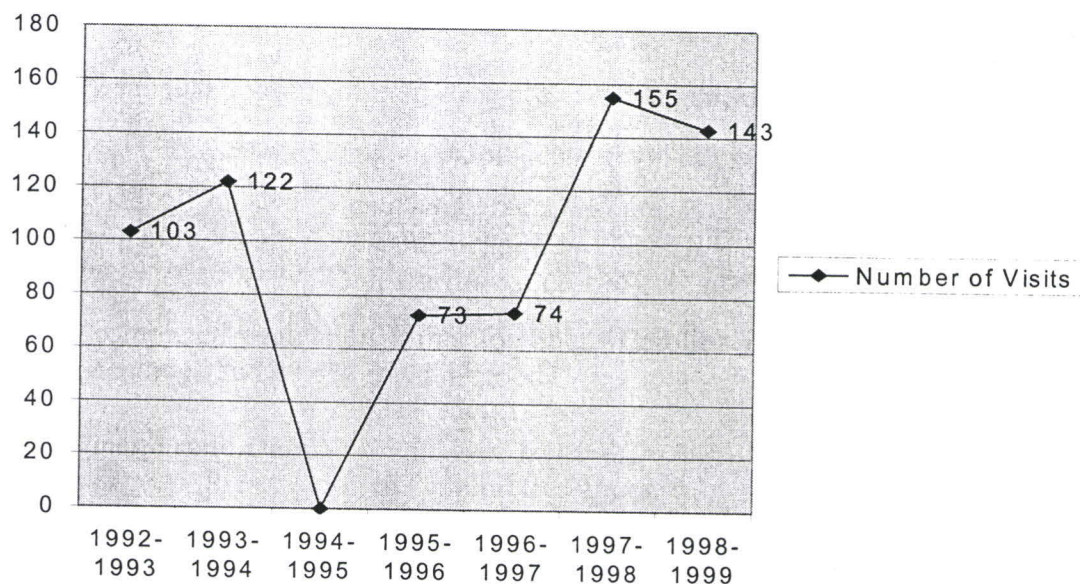
Historic Services Trend Data

Key Business Driver: Preservation of Cultural Resources

Measure: Output

Measure Definition: This output measure is defined by the number of on-site architectural visits made to sites.

Number of Architectural Assistance Visits

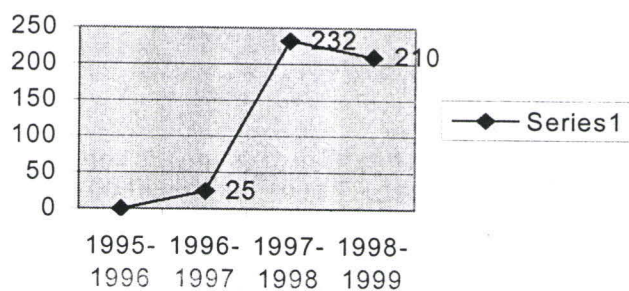


Key Business Driver: Preservation of Cultural Resources

Measure: Output

Measure Definition: This is a measure of total number of participants to our Building Doctor program. It is imperative for us to engage in outreach activities associated with educating the public on how to save cultural resources.

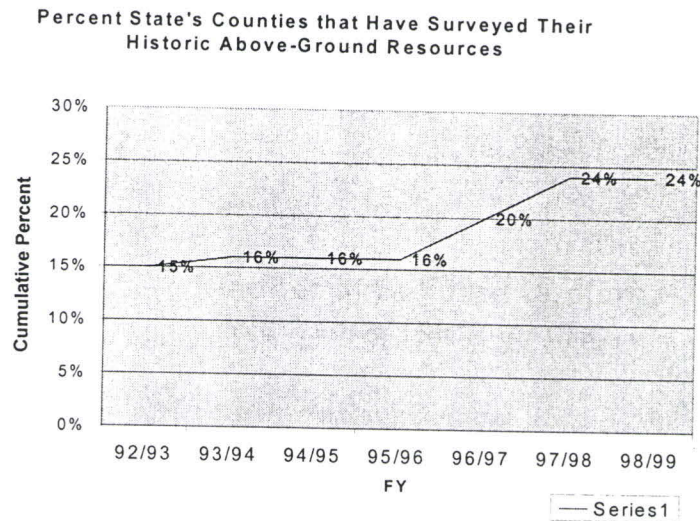
Number of Building Doctor Workshop Participants



Key Business Driver: Preservation of Cultural Resources

Measure: Outcome

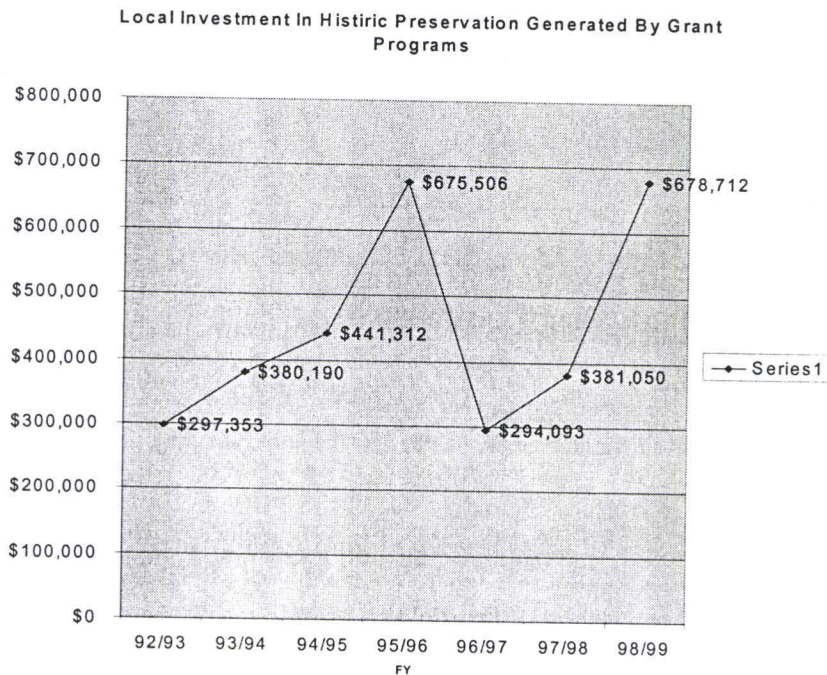
Measure Definition: This measure indicates the percentage of counties that have surveyed their historic above-ground resources.



Key Business Driver: Preservation of Cultural Resources

Measure: Outcome

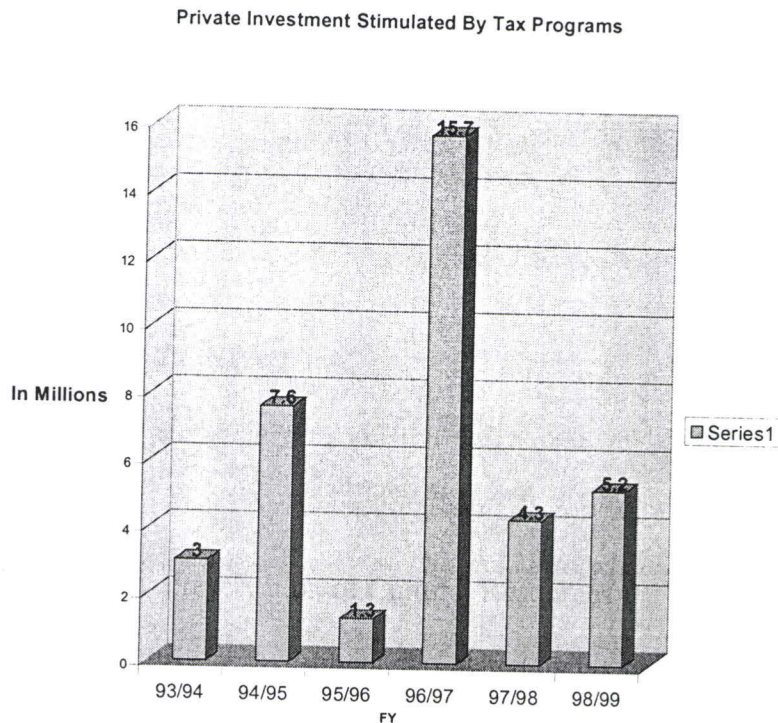
Measure Definition: Local investment in historic preservation generated by grant programs.



Key Business Driver: Preservation of Cultural Resources

Measure: Outcome

Measure Definition: Private investment stimulated by tax programs.



Program Name: Public Programs

Program Cost: \$886,874 (\$378,056 Federal & Other Funds, \$508,818 General Fund)

Program Goal: To promote the the study and understanding of South Carolina's history and documentary heritage through quality educational programming, training, publications and client services.

Program Objectives:

1. To develop and present education programs (including South Carolina History Day) for adult and student audiences that not only highlights the documentary holdings of the Archives, but facilitates access and encourages use of the collection.
2. To promote school participation in the National History Day competition in South Carolina.
3. To encourage collaborative programming with related state and local institutions and organizations.
4. To research and publish historically accurate materials to enhance the study of South Carolina history and its records.
5. To maintain a cost-effective publications program.

6. To use the facility as an effective means of promoting the visibility of the Archives to public and private entities.

Program Measures:

Inputs

4000 Students participating at school level in National History Day South Carolina competition at classroom level.

Outputs

295 requests for publications from agency and service areas:

Filled 72 requests for Archives & Records Management

Filled 20 requests for Education

Filled 154 requests for Historical Services

Filled 20 requests for agency

2 Curriculum Resources developed (South Carolina Secedes, and The Human Face of Slavery)

14,852 event attendees utilizing conference/meeting facilities.

250 external events held at History Center conference/meeting facilities.

72 events donated to public and private partners held at History Center conference/meeting facilities.

Outcomes

\$27,866 generated from rentals of South Carolina History Center conference/meeting facilities

Typesetting and design work for the agency completed in-house resulted in a \$46,361 savings.

46 schools participated competitively in National History Day South Carolina activities

252 Students qualified for the state contest of National History Day.

55 Students qualified from South Carolina to compete at national contest.

Average placement of all South Carolina entries at the National contest top 39th %.

46% of South Carolina entries placed in the top 26th-50th percentile of national competition.

29% of South Carolina entries place in the top 25th percentile of national competition.

75% of South Carolina entries placed in the top 50th percentile in the national preliminary competition.

South Carolina received 13th overall with the numbers of entries qualifying for national run-offs by placing in the either 1st or 2nd place in their preliminary competition.

South Carolina 's Junior Group Performance won 1st place in the national competition. Overall S.C. was one of only ten states to have an entry receive an overall top 3 placement award.

Measure: Output/Outcome

Measure Definition: This is an illustration of the number of customers utilizing the new Archives & History Center in it's first year. Promotional events are donated events without a source of revenue generation that benefit the agency by promoting advocacy with private and public partners. The outcome of utilizing our conference/meeting facilities is the revenue generated.

**Facility Rental Statistics
FY 98-99**

	External Visitors	External Events	Promotional Events	Total Revenue
Jul-98	485	9	5	\$0.00
Aug-98	474	9	5	\$667.00
Sep-98	992	27	8	\$4,644.40
Oct-98	2036	30	12	\$3,930.00
Nov-98	966	23	12	\$620.00
Dec-98	872	4	0	\$500.00
Jan-98	1100	30	8	\$3,373.00
Feb-99	1309	33	6	\$2,375.00
Mar-99	1575	30	5	\$3,178.00
Apr-99	2984	34	3	\$3,340.00
May-99	1629	33	4	\$3,446.50
Jun-99	430	10	4	\$1,792.50
Totals	14,852	250	72	\$27,866.00

Leadership Systems:

The South Carolina Department of Archives & History 's primary mechanism used by the Executive Management Team to set agency direction and seek and guide future opportunities is the Strategic Plan. The plan is developed by a multi-level and cross-functional Strategic Planning Committee based on direction from executive leadership, and facilitated by the agency's quality office. The annual plans and accomplishments of major service areas are reviewed against the goals and strategies in the strategic plan, to ensure alignment of activities. These plans are communicated to employees through a variety of channels, such as general staff meetings, natural work team meetings, ongoing planning meetings, and newsletters. Archives management team uses a variety of mechanisms to communicate and reinforce values, directions, expectations, and customer focus. These include a clear statement of the organization's mission, vision, and values; a commitment of their time to leadership development; membership on the agency's Quality Steering Committee; meetings and written communications with employees; and participation in reviews of organizational performance.

Future opportunities and customer requirements are determined through a variety of mechanisms to include our Strategic Planning SWOT analysis, meeting individually with customer groups, customer forums and focus groups, and customer evaluations and surveys. The leadership and staff of the Archives understand that this plays a key role in determining customer requirements, the priorities for said requirements and resource allocation for meeting those needs. During FY98-99, several forums and surveys were done to determine opportunities for the Archives.

In Archives and Records Management the following took place: 1) A survey of 200 records repositories concerning non-governmental historical records. 2) Focus group of local officials to determine opportunities for local government records. 3) Survey of local governments on needs of local government with regard to their records. 4) On site survey of all 46 counties to determine historically valuable records in need of microfilming. 5) On site survey of state agency records storage needs. 6) Written survey of state agency records officers. 7) Internal programs assessment based on staff interviews and assessment of program material. 8) A survey of the collection for processing and preservation needs.

In Historic Services opportunities and customer requirements were determined through: 1) Attendance to meetings of key stakeholders to present goals and get comments. 2) Survey of local preservation organizations. 3) Feedback from survey posted on our Archives web site. 4) Forum with local historic preservation commissions. 5) Focus group of representative developers, local governments, preservation organization, state agencies to get feedback on special tax assessments to property owners who rehabilitate historic properties.

One of our targeted areas of organizational performance is the transition to a more effective measurement system. Archives leadership realizes that they must have more consistent measures of customer satisfaction, and a heavier concentration of outcome measures. In FY 98-99 teams began working with facilitators from OHR's Center for Education, Quality and Assessment and the internal Quality Coordinator to address the issues of measurement. Although the teams have developed their measures, figures will not be reported until next year. An example of the shift in thinking is illustrated in an example from our Historic Services Review and Compliance team. This team currently has measures of efficiency such as, "percent of plans reviewed within 30 days". After several team discussions consensus was reached on how they could capture better data related to the impact of their work. Now the team will measure the outcome of their work by capturing the percent of plans reviewed where there was a positive impact on the reviewed plan /property.

Another mechanism used by the agency to assess leadership attributes within the entire management team, from the Director down to the supervisory level is the agency's Staff Assessment of Management or SAMS. SAMS is conducted every other year as a way to foster an environment of continuous improvement. This process provides a gauge of the overall agency's progress in areas such as: leadership, teamwork, excellence in customer service, staff involvement in decision making, planning and organization, and communication. It also provides leadership within the agency a sense of employee satisfaction with their work environment. Although the survey is not a mandatory activity, the agency continues to enjoy high involvement rates by their employees in this evaluation. This year 87% of staff completed an assessment of individuals in their supervisory chain. A Likert scale from 0-5 is used, and addresses each attribute with the following comments: 0=Do not have enough information to evaluate this attribute, 1=Does this very effectively, 2= Does this reasonably well, 3=Does this sometimes, but could be more consistent, 4= Tries, but does not do this effectively, and 5=Does not seem to try. An example is available in Appendix A.

Each person being evaluated is given a detailed statistical analysis of the survey responses, and meets individually with the Quality Coordinator to go over the evaluation, and to make a plan for their staff feedback session that will follow. We are now at a point of consistency with this

assessment tool, that comparative data sets from each evaluation are being used as part of the feedback. After group feedback sessions are facilitated, each manager/supervisor works goals into their performance evaluation and progress is monitored.

Archives is currently readying itself to embark on its next strategic planning cycle at the beginning of calendar year 2000. Preliminary meetings, focus groups and discussion are taking place this fall so data can be brought to the table this winter. The challenge for the agency will be to develop a plan that will align with the objectives and activities of the service area work plans and customer requirements.

Customer Satisfaction:

Of utmost importance to the agency is its' customers. Archives continues to communicate the message of customer satisfaction through a variety of mechanisms. The values outlined in our strategic plan were actually developed at the staff level with leadership input. Leadership felt that if they wanted staff to take ownership of the agency values system, they should be key in its development. Customer service and satisfaction are also part of the agency's recognition process, as a criteria for selection of award recipients. Process Assessment Teams as part of a seven -step problem solving process or in new process development, consider input and data from the customer as key to the solution. Lastly, leadership takes many opportunities in staff meetings, e-mails, and newsletters to reinforce customer service values to our staff.

Archives segments its customers so we can seek and evaluate issues such as customer requirements and market opportunities in order to maximize our resources and meet our mission, and satisfy needs of these segments.

Our customer segments are as follows:

- Local History Constituents
- Historic Preservation Constituents
- Records Management Services
- State & Local governments
- Researchers
- Donors/Prospective Donors/Revenue Generators

In the leadership portion of the Accountability Report several surveys, forums, and focus groups are mentioned as mechanisms used by the agency to identify opportunities. The data gathered through these methodologies are communicated to affected work groups so they can plan for improving the level of service to customers, utilize available resources effectively, and prioritize product and service developments. Archives staff is educated to develop listening and learning posts within and outside the agency, and bring that feedback to affected work groups or leaders as another way of gaining insight to customer issues.

In FY 98-99 our survey of state agency records officers revealed positive, and high rankings (80% or higher) for our Archives' publications, advisory services, records scheduling, and records storage. Respondents preferred on-site visits and distance learning opportunities for enhanced advisory services. Though 71% expressed satisfaction with Archives' workshops, 19% expressed "no opinion", 6% did not answer the question, and 4% found them unsatisfactory. While 69% of the respondents found the turnaround time for Archives' approval

of records schedules satisfactory, 17% expressed 'no opinion', 6% dissatisfaction, and 8% did not answer the question. As follow-up to the survey results, Archives staff will conduct a results and planning session with state records officers at the November 3rd meeting of the SC Public Records Association.

Reference Services received a 50.4% response rate from their survey of Archives reference room patrons. Again results were quite positive. 53% rated the reference room service as outstanding, with another 38% rating service good. 80% of patrons prefer the prevailing Monday Reference Room closing to being closed on any other day of the week. Over 75% of the respondents located what they were looking for; many who were unsuccessful noted that the reason was that Archives did not have the records they needed, or they didn't have enough time to conduct the research. Nearly 1/3rd of respondents traveled more than 150 miles to visit the Reference Room, and another 25% traveled more than 50 miles, 35% live within 25 miles. Opportunities identified were the need for more and newer microfilm viewing /printing equipments, and more computer/web accessible information on the Archives' holdings.

Historical Services identified an educational need from their customer segment pertaining to grants and grant writing. In May 1999, this service area sponsored a public workshop on the Archives State and Federal Grants programs, how grants recipients are determined, and how to write a grant application. 74% of participants indicated that the workshop was "very useful". 26% found the workshop 'useful', and no one rated it 'not very useful'. As a result, we did see improvement on the state grants sent in for evaluation and award.

The grants process in Historical Services also takes an innovative approach to awarding its state grants. For four years now we have involved a team of five customers to serve on and make recommendations for recipients of state grants. Utilizing a structured approach called prioritization matrices, the agency's Quality Coordinator and Historic Grants Coordinator work together to facilitate this customer team on the process. During the past four years eighteen customers have provided service to this team. One outcome that Archives has had as a result of this innovative process is the drastic decrease of failed grant projects. In four years no projects have failed to be completed to specification, whereas prior to this process more than 1/3rd of projects failed.

Over the last five years, Archives has developed in its ability to meet its customer requirements by developing the skills within our own staff to do so. Major skills focus has been in areas of principles and philosophies of continuous improvement, facilitation skills, team training, problem solving and decision- making tools training, and meeting skills. The outcomes from this investment has been a staff that works well cross functionally, communicates and collaborates around customer issues, analyzes data to improve decisions, takes ownership of problems and responds effectively. The South Carolina Department of Archives & History will continue to look for opportunities and meet challenges of the future by remaining focused on its mission, providing resources to employees to fulfil the mission, and prioritize the needs of our customers based on available resources.

South Carolina Department of Archives and History Staff Assessment of Management Survey (SAMS)

You may complete more than one survey, but must complete a separate survey for each individual. Please indicate the name of the individual who you are reviewing and their supervisory relationship to you in the space below.

Name of Individual I am reviewing: _____
This individual is my: _____

- _____ Direct Supervisor
_____ Work Group Manager
_____ Service Area Director
_____ Director

My name is: (Optional) _____

Insert the name of the individual you are reviewing in the blank and indicate the response which best describes the performance of that individual.

- 0 = I do not have enough information to rate this attribute.
1 = Does this very effectively
2 = Does this reasonably well
3 = Does this sometimes, but could be more consistent
4 = Tries, but does not do this effectively
5 = Does not seem to try

Example:

○ ○ ○ ● ○ ○
0 1 2 3 4 5

"Boss Joe" Asks for my input before making a decision which affects my job.

Explanation:

I selected 3 because I can think of two times that I was consulted by my boss Joe, but I feel I should be consulted more often.

****Leah and the QI Intern will be collecting the surveys later today beginning at 3:30 p.m. Please place the completed forms inside of the envelope provided in order to ensure your anonymity.**

- 0 = I do not have enough information to rate this attribute.**
1 = Does this very effectively
2 = Does this reasonably well
3 = Does this sometimes, but could be more consistent
4 = Tries, but does not do this effectively
5 = Does not seem to try

0 1 2 3 4 5

LEADERSHIP

- ☐ ☐ ☐ ☐ ☐ ☐ _____ helps me to see the importance of my role in the agency
- ☐ ☐ ☐ ☐ ☐ ☐ _____ persuades me to try new concepts
- ☐ ☐ ☐ ☐ ☐ ☐ _____ works with groups/teams to accomplish agency goals
- ☐ ☐ ☐ ☐ ☐ ☐ _____ leads by example
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is effective in situations with no easy answer
- ☐ ☐ ☐ ☐ ☐ ☐ _____ coaches, counsels, mentors others; is patient as others learn
- ☐ ☐ ☐ ☐ ☐ ☐ _____ gives appropriately challenging assignments
- ☐ ☐ ☐ ☐ ☐ ☐ _____ puts the organization's objectives ahead of personal ambitions

0 1 2 3 4 5

COMMUNICATION / FLEXIBILITY

- ☐ ☐ ☐ ☐ ☐ ☐ _____ informs employees regularly about their direction, plans, and goals
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is clear and articulate in communicating with others
- ☐ ☐ ☐ ☐ ☐ ☐ _____ states desires, needs, and guidelines of a task in an easily understood and specific manner
- ☐ ☐ ☐ ☐ ☐ ☐ _____ seeks input from staff when it is relevant to the work group
- ☐ ☐ ☐ ☐ ☐ ☐ _____ recognizes and rewards the contributions of others
- ☐ ☐ ☐ ☐ ☐ ☐ _____ listens to others and responds with clear, specific feedback
- ☐ ☐ ☐ ☐ ☐ ☐ _____ communicates decisions to work group, even when unpopular
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is skillful at relating to many different types of people
- ☐ ☐ ☐ ☐ ☐ ☐ _____ considers and implements others' ideas even when those are different to his/her own ideas
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is open to constructive criticism; makes me feel comfortable giving feedback on issues
- ☐ ☐ ☐ ☐ ☐ ☐ _____ encourages involvement in decision making
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is flexible; uses different approaches according to the situation
- ☐ ☐ ☐ ☐ ☐ ☐ _____ encourages "give and take" in conversations and meetings
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is resilient when dealing with setbacks

0 1 2 3 4 5

INNOVATION / PLANNING

- ☐ ☐ ☐ ☐ ☐ ☐ _____ suggests new ideas for the future
- ☐ ☐ ☐ ☐ ☐ ☐ _____ shows support for organizational decisions
- ☐ ☐ ☐ ☐ ☐ ☐ _____ incorporates training needs into plans
- ☐ ☐ ☐ ☐ ☐ ☐ _____ encourages me to experiment with new approaches and methods for accomplishing tasks
- ☐ ☐ ☐ ☐ ☐ ☐ _____ shows initiative
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is goal-directed, persistent; committed to fulfilling objectives
- ☐ ☐ ☐ ☐ ☐ ☐ _____ is optimistic; believes most problems can be solved
- ☐ ☐ ☐ ☐ ☐ ☐ _____ creates a supportive environment that reinforces continuous improvements, creative thinking, and change

COMMENTS:

4. Specify what areas you believe the Agency as a whole should focus on developing.

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